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Receipt *Ther*

Docket No.: R2184.0137/P137  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Hideaki Hirai et al.

Application No.: 10/086,442

Confirmation No.: 4020

Filed: March 4, 2002

Art Unit: 2656

For: OPTICAL ELEMENT, OPTICAL PICKUP  
UNIT, AND OPTICAL DISK DRIVE UNIT

Examiner: Nabil Z. Hindi

**REQUEST FOR CORRECTED FILING RECEIPT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicants hereby request that a corrected Filing Receipt be issued in the above-identified patent application. The official Filing Receipt received by Applicants, a copy of which is attached hereto, has an error of omission of the third inventor's residence. The inventor and his residence should read as:

**Hiroshi Akiyama Kanagawa, Japan**

Applicants additionally request that all pertinent U.S. Patent and Trademark Office records relating to the subject application be changed to reflect this correction.

Dated: January 10, 2006

Respectfully submitted,

By 

Mark J. Thronson

Registration No.: 33,082

DICKSTEIN SHAPIRO MORIN &  
OSHINSKY LLP

2101 L Street NW

Washington, DC 20037-1526

(202) 785-9700

Attorney for Applicant



## UNITED STATES PATENT AND TRADEMARK OFFICE



UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/086,442	03/04/2002	2655	2808	R2184-0137/P137	20	81	13

24998  
DICKSTEIN SHAPIRO MORIN & OSHINSKY LLP  
2101 L Street, NW  
Washington, DC 20037

CONFIRMATION NO. 4020  
CORRECTED FILING RECEIPT  
\*OC000000015814450\*  
\*OC000000015814450\*

*m. 5.4/27/05*  
*MJT/JCD*  
*Formalities*

Date Mailed: 04/22/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Hideaki Hirai, Kanagawa, JAPAN;  
Shigeru Ohuchida, Tokyo, JAPAN;  
HIROSHI AKIYAMA, Residence Not Provided;

**Power of Attorney:**

Gary Hoffman--26411	Mark Thronson--33082
Thomas D'Amico--28371	Eric Oliver--35307
Donald Gregory--28954	Laurence Fisher--37131
James Brady Jr--32115	William Powell III--39803
Jon Grossman--32699	Jeremy Cubert--40399

**Domestic Priority data as claimed by applicant****Foreign Applications**

JAPAN 2001-063513 03/07/2001  
JAPAN 2001-290046 09/21/2001

If Required, Foreign Filing License Granted: 04/05/2002

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/086,442**

Projected Publication Date: Not Applicable

**Non-Publication Request:** No

**Early Publication Request:** No

**Title**

Optical element, optical pickup unit, and optical disk drive unit

**Preliminary Class**

369

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



Atty Docket No.: R2184.0137/P137

Inventor: Hideaki Hirai et al.

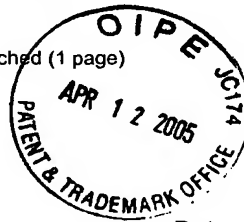
Application No.: 10/086,442-Conf. #4020

Filing Date: March 4, 2002

Title: OPTICAL ELEMENT, OPTICAL PICKUP UNIT, AND OPTICAL DISK DRIVE  
UNIT

**Documents Filed:**

Assignment ( 3 pages); Recordation Form Cover Sheet (1 page)  
Japanese Language Declaration (5 pages); Statement of Hiroshi Akiyama (1 page)  
Written Consent of Assignee (1 page)  
Request to Correct Inventorship by Adding Hiroshi Akiyama as an Inventor (1 page)  
Amendment (26 page); Amendment Transmittal (1 page)  
Fee Transmittal (1 page)  
Transmittal Sheet (1 page)  
Payment by credit card. Form PTO-2038 is attached (1 page)  
Charge \$170.00 to credit card



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Date: April 12, 2005

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Docket No.: R2184.0137/P137  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Hideaki Hirai, et al.

Examiner: Nabil Z. Hindi

Application No.: 10/086,442

Art Unit: 2655

Filed: March 4, 2002

For: OPTICAL ELEMENT, OPTICAL PICKUP  
UNIT, AND OPTICAL DISK DRIVE UNIT

**REQUEST TO CORRECT INVENTORSHIP BY ADDING HIROSHI AKIYAMA  
AS AN INVENTOR**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicants respectfully request that Hiroshi Akiyama be added as an inventor for the above-referenced U.S. patent application. Pursuant to 37 C.F.R. § 1.48 (a), please find enclosed the following items: 1) the present Request to Correct Inventorship; 2) a Statement of Hiroshi Akiyama that the error in inventorship occurred without deceptive intention on his part; 3) a Declaration and Assignment by the actual inventors as required under 37 C.F.R. § 1.63; 4) the PTO processing fee of \$130.00; and 5) the Written Consent of the Assignee to add Hiroshi Akiyama as an inventor. The Examiner's approval is respectfully solicited.

Dated: April 12, 2005

Respectfully submitted,

By 

Stephen A. Soffen

Registration No.: 31,063  
DICKSTEIN SHAPIRO MORIN &  
OSHINSKY LLP  
2101 L Street NW  
Washington, DC 20037-1526  
(202) 785-9700  
Attorney for Applicants



Docket No.: R2184.0137/P137  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Hideaki Hirai, et al.

Examiner: Nabil Z. Hindi

Application No.: 10/086,442

Art Unit: 2655

Filed: March 4, 2002

For: OPTICAL ELEMENT, OPTICAL PICKUP  
UNIT, AND OPTICAL DISK DRIVE UNIT

STATEMENT OF HIROSHI AKIYAMA

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

The above-referenced application originally named Hideaki Hirai and Shigeru Ohuchida as co-inventors. I, Hiroshi Akiyama, should be added as a co-inventor. The error in inventorship occurred without deceptive intention on my part.

\* Hiroshi Akiyama  
Hiroshi Akiyama

Date: \* March 16, 2005



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/106 (05-00)

Approved for use through 10/31/02. OMB 0651-0032

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

## Declaration and Power of Attorney for Patent Application

### 特許出願宣言書及び委任状

### Japanese Language Declaration

#### 日本語宣言書

私は、以下に記名された発明者として、ここに下記の通り宣言する：

As a below named inventor, I hereby declare that:

私の住所、郵便の宛先そして国籍は、私の氏名の後に記載された通りである。

My residence, post office address, and citizenship are as stated next to my name.

下記の名前の発明について、特許請求範囲に記載され、且つ特許が求められている発明主題に関して、私は、最初、最先且つ唯一の発明者である（唯一の氏名が記載されている場合）か、或いは最初、最先且つ共同発明者である（複数の氏名が記載されている場合）と信じている。

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

OPTICAL ELEMENT, OPTICAL PICKUP  
UNIT, AND OPTICAL DISK DRIVE UNIT

上記発明の明細書はここに添付されているが、下記の箱がチェックされている場合は、この限りでない：

the specification of which is attached hereto unless the following box is checked:

の日に出版され、  
この出版の米国出版番号またはPCT国際出版番号は、

X

was filed on March 4, 2002

as United States Application Number or

PCT International Application Number

S.N. 10/086,442

and was amended on

(if applicable).

であり、且つ

の日に補正された出版（該当する場合）

私は、上記の禁止契によって補正された、特許請求範囲を含む上記明細書を検討し、且つ内容を理解していることをここに表明する。

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

私は、連邦規則法典第37編規則1.56に定義されている、特許性について重要な情報を開示する義務があることを認める。

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

# Japanese Language Declaration

(日本語宣言書)

私は、ここに、以下に記載した外国での特許出願または発明者証の出願、或いは米国以外の少なくとも一國を指定している米国法典第35編第365条(a)によるPCT国際出願について、同第119条(a)(4)項又は第365条(a)項に基づいて優先権を主張するとともに、優先権を主張する本出願の出願日より前の出願日を有する外国での特許出願または発明者証の出願、或いはPCT国際出願については、いかなる出願も、下記の枠内をチェックすることにより示した。

I hereby claim foreign priority under Title 35, United States Code Section 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365 (a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent, or inventor's certificate, or PCT International application having a filing date before that of the application for which priority is claimed.

## Prior Foreign Application(s)

Priority Not Claimed

優先権を主張なし

外国での先行出願

as per attached

(Number) (番号)	(Country) (国名)	(Day/Month/Year Filed) (出願日/月/年)

私は、ここに、下記のいかなる米国仮特許出願についても、その米国法典第35編119条(a)項の利益を主張する。

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below.

(Application No.) (出願番号)	(Filing Date) (出願日)

私は、ここに、下記のいかなる米国出願についても、その米国法典第35編第120条に基づき利益を主張し、又本区を指定するいかなるPCT国際出願についても、その同第365条(a)に基づき利益を主張する。また、本出願の各特許請求の範囲の主題が、米国法典第35編第112条第1段に規定された態様で、先行する米国出願又はPCT国際出願に開示されていない場合においては、その先行出願の出願日と本国内出願日またはPCT国際出願日との間の期間中に入子された情報で、是非項別は同第37編規則1.58に定義された特許性に関わる重要な情報について開示義務があることを承認する。

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

(Application No.) (出願番号)	(Filing Date) (出願日)	(Status Patented, Pending, Abandoned) (現況: 特許許可、係属中、放棄)

私は、ここに表明された私の自身の知識に基く陳述が真実であり、且つ情報と信ずることに基づく陳述が、真実であると信じられることを宣言し、さらに、故意に虚偽の陳述などを行った場合は、米国法典第18編第1001条に基づき、罰金または拘禁、若しくはその両方により処罰され、またそのような故意による虚偽の陳述は、本出願またはそれに対して発行されるいかなる特許も、その有効性に問題が生ずることを理解した上で陳述が行われたことを、ここに宣言する。

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.



Prior Foreign Application(s)

Priority  
Claimed ,

Patent Application

<u>No.2001-063513</u>	<u>Japan</u>	<u>7/March/2001</u>	Yes
(Number)	(Country)	(Day/Month/Year filed)	

Patent Application

<u>No.2001-290046</u>	<u>Japan</u>	<u>21/September/2001</u>	Yes
(Number)	(Country)	(Day/Month/Year filed)	

Patent Application

<u>No.2000-116762</u>	<u>Japan</u>	<u>18/April/2000</u>	No
(Number)	(Country)	(Day/Month/Year filed)	

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## Japanese Language Declaration

(日本語宣言書)

委任状: 私は本出願を審査する手続を行い、且つ米国特許商標庁との全ての業務を遂行するために、記名された発明者として、下記の弁護士及び/または弁理士を任命する。(氏名及び登録番号を記載すること)

All practitioners associated with Customer  
Number 24998.

## 書類送付先

Mark J. Thronson, Esq.  
DICKSTEIN SHAPIRO MORIN & OSHINSKY  
LLP  
2101 L Street NW  
Washington, DC 20037-1526

## 直通電話連絡先: (氏名及び電話番号)

Mark J. Thronson, (202) 775-4742 (facsimile: (202) 887-0689)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith: (list name and registration number).

All practitioners associated with Customer  
Number 24998.

## Send Correspondence to:

Mark J. Thronson, Esq.  
DICKSTEIN SHAPIRO MORIN & OSHINSKY  
LLP  
2101 L Street NW  
Washington, DC 20037-1526

## Direct Telephone Calls to:

(name and telephone number)

Mark J. Thronson, (202) 775-4742 (facsimile: (202) 887-0689)

唯一または第一発明者氏名	Full name of sole or first inventor HIDEAKI HIRAI
発明者の署名	Inventor's signature
日付	Date
住所	Residence
国籍	Kanagawa, Japan
郵便の宛先	Citizenship
	Japan
	Post Office Address
	c/o RICOH COMPANY, LTD.
	3-6, Nakamagome 1-chome, Ohta-ku, Tokyo 143-8555,
	Japan

第二共同発明者がいる場合、その氏名	Full name of second joint inventor, if any SHIGERU OHUCHIDA
第二共同発明者の署名	Second inventor's signature
日付	Date
住所	Residence
国籍	Tokyo, Japan
郵便の宛先	Citizenship
	Japan
	Post Office Address
	c/o RICOH COMPANY, LTD.
	3-6, Nakamagome 1-chome, Ohta-ku, Tokyo 143-8555,
	Japan

(第三以下の共同発明者についても同様に記載し、署名をすること)

(Supply similar information and signature for third and subsequent joint inventors.)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

		Full name of third joint inventor, if any <b>HIROSHI AKIYAMA</b>	
発明者の署名	日付	Inventor's signature	Date
		<i>Hiroshi Akiyama</i>	<i>March 16, 2005</i>
住所	Residence Kanagawa, Japan		
国籍	Citizenship Japan		
郵便の宛先	Post Office Address c/o RICOH COMPANY, LTD. 3-6, Nakamagome 1-chome, Ohta-ku, Tokyo 143-8555, Japan		

		Full name of fourth joint inventor, if any	
発明者の署名	日付	Inventor's signature	Date
住所	Residence		
国籍	Citizenship		
郵便の宛先	Post Office Address		

		Full name of fifth joint inventor, if any	
発明者の署名	日付	Inventor's signature	Date
住所	Residence		
国籍	Citizenship		
郵便の宛先	Post Office Address		

		Full name of sixth joint inventor, if any	
発明者の署名	日付	Inventor's signature	Date
住所	Residence		
国籍	Citizenship		
郵便の宛先	Post Office Address		